

OUTLINE SHEET 7.2**Personnel Security Investigations****REFERENCE**

SECNAV M-5510.30, Chapter 6

CNO ltr 5520 Ser N09N2/6U871247 of 12 OCT 06, Modification of
Investigative Standards for the Single Scope Background
Investigation - Periodic Reinvestigation

CNO ltr 5520 Ser 09N2/6U871225, New Procedures for Requesting
Submitting Office Numbers (SONs), Security Office Identifiers
(SOIs), On-Line Payment Collection Billing Codes and Submission
of Security Manager Designation Letters

OUTLINE**A. Basic Policy (PSP 6-1, 6-2)**

1. A Personnel Security Investigation (PSI) is an inquiry by an investigative agency to gather pertinent information to make a favorable security determination regarding loyalty, reliability or trustworthiness.
2. The purposes for initiating a PSI are to determine:
 - a. Eligibility for access to classified information
 - b. Acceptance or retention in the Armed Forces
 - c. Assignment or retention in national security positions, sensitive duties or other designated duties requiring such PSIs
 - d. Prove or disprove allegations concerning a person who holds a clearance or is assigned duties that require a trustworthiness determination
3. The only authorized PSI requesting officials are:
 - a. Chiefs of Recruiting Stations
 - b. Director, DON Central Adjudication Facility (CAF)
 - c. Commanding Officers of USN/USMC units

NOTE: Individuals cannot submit their own requests; the next senior submits the request for a CO

4. Because of costs in time and money, request only the minimum investigation required to justify the access or assignment to sensitive position the command needs to accomplish its mission.
5. Do not request PSIs for any civilian or military personnel who will be retired, resigned, or separated with less than 1 year service remaining.

B. Types of PSIs (6-2)

NOTE: All investigations will be submitted electronically to Office of Personnel Management (OPM) using the e-QIP (Electronic Questionnaires for Investigations Processing) **(PSP 6-13)** (Using the e-QIP process will be discussed later in the lesson)

1. Entrance National Agency Check (ENAC)- An obsolete investigation previously conducted to determine suitability for first term enlistees
2. National Agency Check (NAC) - Previously used to determine suitability for newly commissioned officers
 - a. Remains the standard for trustworthiness determinations and an integral part of other investigations (i.e., SSBI, SSBI-PR, NACLC, NACI and ANACI)
 - b. Includes a search of: Defense Clearance and Investigations Index (DCII), OPMs RSI (Reimbursable Suitability Investigation), FBI files to include a technical fingerprint check, and other appropriate federal government agencies (e.g., Immigration and Naturalization) (5 year scope investigation)
3. National Agency Checks with Local Agency and Credit Checks (NACLC) (see figure 7.2-1)
 - a. Conducted for all new military accessions and any military member with break in service greater than 24 months
 - b. Replaces the ENAC and NAC for the purpose of establishing suitability for enlisted and officer accessions and eligibility for Secret clearance

NOTE: A Secret clearance issued on an ENAC or NAC remains valid for access if the closed date of the ENAC/NAC does not exceed 10 years

- c. Consists of the same elements as a NAC with the addition of credit checks and local law enforcement checks (7 year scope investigation)
- 4. National Agency Check with Written Inquiries (NACI)
 - a. Investigative standard for federal civil service employment suitability determinations - but cannot be used to grant security clearance eligibility
 - b. Consists of a NAC plus written inquiries to former employers, supervisors, references and schools (5 year scope investigation)
- 5. Access National Agency Check with Written Inquiries (ANACI) (see figure 7.2-1)

- a. Conducted on new civilian employees of the Federal Government to determine appointment to non-critical sensitive positions and eligibility for a Secret clearance

NOTE: A Secret clearance issued on an NACI remains valid for access if the closed date of the NACI does not exceed 10 years

- b. Consists of: NAC; Credit Check; Written inquiries to law enforcement agencies, former employers and supervisors, references, and schools (7 year scope investigation)
- 6. Single Scope Background Investigation (SSBI)
 - a. Consists of checks/inquiries listed in figure 7.2-1, to include:
 - NAC for subject and spouse or cohabitant
 - Verification of subject's date and place of birth, education and employment
 - Citizenship validation
 - Education and reference interviews
 - Neighborhood interviews
 - Subject Interview
 - Developed character reference interviews
 - Ex-Spouse interview
 - Credit checks
 - Local law enforcement agency checks

- Public record checks (i.e., verification of divorce, bankruptcy, etc.)
- Foreign Travel
- Foreign connections and organizational affiliations
- Other inquiries as appropriate

b. Scope: Most recent 10 years of subject's life or from 18th birthday, whichever is shorter, however at least 2 years will be covered; No investigation is conducted prior to subject's 16th birthday.

c. A favorable SSBI provides the investigative requirements for: Top Secret clearance, access to Sensitive Compartmented Information (SCI), and Critical-Sensitive or Special-Sensitive positions

NOTE: A SSBI for SCI access requires a command pre-nomination interview (as part of the candidate screening process) before submission of the SSBI. Additional (Conducted by SSO or designee) investigative requirements will be required if subject has foreign national immediate family members

d. A SSBI is also required for access to SIOP-ESI, security manager, PRP critical position, clearance adjudicator, investigative special agent, support personnel, LAA for non-U.S., White House, and some SAPs

7. Reimbursable Suitability/Security Investigation (RSI)

a. Limited inquiry conducted to resolve personnel security issues that arise after a PSI is conducted, evaluated or adjudicated

b. Consists of record checks and interviews

8. Periodic Reinvestigations - Updates a previous valid investigation to evaluate continued access eligibility (see figure 7.2-1)

a. SSBI-PR (PR) - Consists basically of the same checks and inquiries as the SSBI; Conducted every 5 years for individuals with: top secret access, SCI access, NATO TS COSMIC Clearance, PRP Critical positions, SIOP-ESI, civilians in critical-sensitive and special sensitive positions, LAA, White House and some SAPs (Scope - back to closed date of last investigation)

b. Phased PR (PPR) - A limited SSBI-PR

NOTE: PPRs will be submitted for SSBI-PR submissions as long as none of the below responses appear on the SF-86 investigation, otherwise a SSBI-PR will be requested. (E-QIP should automatically convert the SSBI-PRs to a PPRs following validation unless they contain information raising security concerns) **(CNO ltr 5520 Ser N09N2/6U871247)**

SF86 Question	Response
8a (Citizenship)	"I am not a U.S. Citizen"
8d (Dual Citizenship)	Checked
17 (Your Foreign Activities)	Positive response to questions: b, c, or d
21 (Your Medical Record)	A positive response (except for marital, family, or grief counseling, not related to violence by the subject)
23 (Your Police Record)	A positive response to questions: a, b, c, d, e, or f
24 (Your Use of Illegal Drugs and Drug Activity)	A positive response to questions: a, b, or c
25 (Your Use of Alcohol)	A positive response
26 (Your Investigation Record)	A positive response to question: b
27 (Your Financial Record)	A positive response to questions: a, b, c, d
28 (Your Financial Delinquencies)	A Positive response to questions: a, b
30 (Your Association Record)	A positive response to questions: a or b

NOTE: OPM will automatically convert any PPR request to the full scope SSBI-PR at case scheduling, if there are any positive responses to the above questions.

c. Secret PR (SPR) - Old term - these will now be submitted as NACLCs

NACLCs are conducted on personnel with Secret access at 10 year intervals (SAPs and certain Special Programs may require reinvestigations at 5 year intervals)

- d. Confidential PR (CPR) - Old term - these will now be submitted as NACLCs at 15 year intervals on personnel with Confidential access

PERSONNEL SECURITY INVESTIGATION (PSI) COMPONENTS

COMPONENT	PSI TYPE				
	NACLC	ANACI	SSBI	SSBI-PR	PPR
File Checks (Minimum)					
DCII, FBI& Other Federal Files	X	X	X	X	X
FBI Technical Check	X	X	X	X	
Local Police & Credit Check	X	X	X	X	X
Validate Citizenship	X	X	X		
DOB/POB/Education Verification	X	X	X		
Written Inquires:					
Former employers & Supervisors		X			
Character references, schools		X			
Verify					
Employment		X	X	X	X
Organizational Affiliations			X	X	
Foreign contacts/travel			X	X	
Spouse NAC			X		
Interviews:					
Subject			X	X	X
Neighborhood interviews			X	X	
Character Reference Interviews			X	X	X
Employer Interview			X	X	
Ex-Spouse Interview			X	X	
Investigation Scope	7	7	10	Last PSI	Last PSI

Figure 7.2-1. PSI Components.

C. Investigative Requirements (PSP 6-5 thru 6-6)

1. Military enlistment or appointment - NACLC for all new military accessions (to include foreign nationals): Enlisted, Commissioned/Warrant Officers, Midshipman and Reserve Officer Training Corps candidates (before appointment)

NOTE: New NACLC required if active service break greater than 24 months

2. Federal Civilian Employees

- a. For nonsensitive/IT-III positions - NACI
 - b. For noncritical-sensitive/IT-II positions - ANACI
 - c. For critical-sensitive/IT-III or special sensitive positions/IT-DAA - SSBI
 - d. Exceptions to the pre-appointment requirement for an ANACI:
 - (1) Prior valid NACI or SSBI (NOTE: Previously conducted NAC or ENTNAC will not meet federal civilian employment regulations)
 - (2) New ANACI or SSBI required with service break of greater than 24 months
 - (3) Emergency appointments - With no prior investigative basis, an individual can be placed in a non-critical-sensitive position only under conditions of an emergency appointment, the CO must:
 - Determine delay in appointment would be harmful to National security
 - Conduct a local records check
 - Submit an ANACI
 - Justify actions in writing, file locally
3. Investigative requirements for DON contractor personnel
 - Managed under the National Industrial Security Program (NISP) by Defense Security Service **(PSP 6-7)**

D. Specific Investigative Program Requirements (PSP 6-9)

1. Special Access Programs (SAP)
 - a. Established under SAP Oversight Committee
 - b. Requirements, as determined by SAP Manager, may include but are not limited to:
 - Special clearance eligibility
 - Additional adjudication
 - Unique investigative requirements
 - Material dissemination restrictions
 - Formal identification of personnel
2. Sensitive Compartmented Information (SCI)

- a. Requires SSBI and PR (every 5 years)
 - b. Transfer orders will indicate requirement and losing command's security manager/SSO must ensure required PSI promptly submitted
3. Nuclear Command and Control-Extremely Sensitive Information (NC2-ESI)- OPNAVINST S5511.35(series) provides requirements
4. Presidential support activities
 - a. There are two categories of assignment - Category One and Two - both with similar prerequisites
 - b. SECNAVINST 5312.12(series) provides requirements
5. North Atlantic Treaty Organization (NATO)
 - a. Access requires equivalent level U.S. security clearance - however assignment to NATO *billet* has additional requirements
 - b. OPNAVINST C5510.101D provides program requirements

E. Other Investigative Requirements for Specific Performance of Duty (PSP 6-8)

- Command Security Manager - SSBI
- Clearance Granting Authorities - SSBI
- Appellate Authorities - SSBI
- Educator/Trainer - NACLC/ANACI
- Cryptographic Duties - SSBI (Final clearance eligibility)
- Investigative Duties - SSBI
- IT-DAA - SSBI (DCID 6/4 Standards)
- IT-I - SSBI
- IT-II - NACLC/ANACI
- IT-III - NACI
- Arms, Ammunition and Explosives - NACLC/ANACI
- Contract Guards - NACLC
- Foreign Nationals Employed Overseas (Nonsensitive duties) Record check conducted by NCIS
- Nuclear Weapons PRP Positions (Critical - SSBI) (Controlled - NACLC (updated every 5 years)
- Non-Appropriated Fund Positions - NACI
- LAA - SSBI (DON sole approval authority rests with CNO/N09N2, maximum eligibility SECRET)

NOTE: Exhibit 6A, PSP provides a listing of PSI Requirements by Navy Designator/Rating

F. Command Responsibilities Regarding PSI Requests (PSP 6-12)

1. Determine the individual does not have an investigation to satisfy the requirements (Use JPAS)
2. Ensure the individual has over 12 months of obligated service
3. Complete a Local Records Check (LRC) to determine if locally available disqualifying information exists. It consists of a review of available:
 - Personnel files
 - Medical
 - Legal
 - Security,
 - Base/military police
 - Other command records security

NOTE: Do not contact local law enforcement, National Crime Information Center (NCIC), or servicing NCIS office for the LRC

4. Validate subject's citizenship - First time candidates and candidates for clearance at a higher level than currently held must have their citizenship verified.
5. For SSBI submission - Verify subject's date and place of birth using locally available records

NOTE: OPM will validate education

6. Ensure PSI request is initiated, reviewed and approved through JPAS
7. Ensure Pre-Nomination Interviews for initial SCI access are conducted by a SSO or designee

NOTE: COs/XOs do not require a pre-nomination interview

8. Commands must maintain a copy of the completed SF 86 form (printed out from e-QIP) and maintain it until DON CAF adjudicates the clearance eligibility - After that destroy the form

G. Submitting PSIs Using e-QIP (PSP 6-13 and 6-14)

1. Before requesting a PSI using e-QIP must have an established Submitting Office Number (SON) established with OPM

NOTE: CNO (N09N2) is now the single POC for DON validation of SONs. All requests for SON codes will be sent to CNO (N09N2) (USMC send requests via CMC ARS) using the format in CNO ltr 5520 Ser 09N2/6U871225. CNO (N09N2) will forward requests to OPM

2. Allows applicants for PSIs to electronically enter, update and transmit their personal investigative data over a secure Internet connection to their command
3. Enables JPAS users to initiate, review, approve and then submit to OPM a PSI request electronically
4. In order to use JPAS to submit investigations - the JPAS User must be given e-QIP permissions in JPAS; the following permissions can be given by an Account Manager to the user levels indicated:

- Initiate PSI - Levels 2, 3, 4, 5, & 6
- Review PSI - Levels 2, 3, 4, 5, & 6
- Approve PSI - Levels 2, 3, 4, 5, & 6
- Override PSI - Levels 2 and 4 only

5. Initiate PSI - Initiate the correct investigation in e-QIP through JPAS using the "Investigation Request" link. (JPAS user must have "Initiator" permission established and must "own" or "service" the person) (see Security Manager's e-QIP Handbook located on www.navysecurity.navy.mil for step by step directions)
6. Applicant's Role - Once the investigation has been initiated - advise the applicant to go to www.opm.gov/e-qip and do the investigation

NOTE: A "fillable" SF86 form can be downloaded from the website www.navsecurity.navy.mil - Select Forms Link. This would allow person to gather all necessary information before filling out the form on the website which might facilitate the process

- a. Advise applicant they have 30 days to start the investigation and then 90 days to complete it (If the investigation is not started within 30 days after initiation - the investigation will be stopped and will have to be reinitiated)

NOTE: If applicant is a male born after 31 Dec 1959 and does not know his Selective Service number - call 1-847-688-6888 for assistance (If member was in military service at age 18, he was exempt from registering)

- b. Advise applicant about filling in the "Golden Questions".
 - (1) Upon initial log in the following 3 "Golden Questions" will pop up. Answer the first question (In what year were you born?) and third question (What is your last name?) with the correct answer but put "UNKNOWN" for the second question (In what city were you born?) then it save
 - (2) Applicant will now be able to establish their own Golden Questions and these will appear every time the person reenters the e-QIP web site. Hint - tell them to make easy questions that they will remember while doing this investigation and 5 or 10 years from now when they are doing PRs
- c. Once applicant has completed filling in all the information they must validate the form, certify the form, print the release forms (3 forms - investigation, release of records, and release of medical records), and release request/transmit to agency (Applicant is now blocked from reopening the PSI form)
- d. Applicant must sign and date each signature form and provide Security Manager with originals

NOTE: There is an Applicants e-QIP Handbook which can be downloaded from www.navysecurity.navy.mil

- 4. Review of completed PSI - Review the PSI when notification is received through SMO that investigation is "Ready for review" (To review JPAS user must have had e-QIP "Reviewer" permission granted)
- 5. Reopen PSI - If there are any issues with the completed investigation, a person with Initiator privileges can reopen the investigation so the person can correct any data
- 6. Approve PSI - Approve the PSI, after the investigation has been reviewed for accuracy, by selecting the

"approve" button in JPAS (Must have e-QIP "Approver" permission established and must be sent within 90 days of receipt of completed investigation).

- a. The PSI will go electronically to OPM
- b. Fingerprints and release forms must be sent separately and OPM will not open the investigation and sign a case control number until receipt of release forms and fingerprints.

7. Release forms and fingerprint cards

- a. The Release Forms (3) must be dated and signed by applicant. Forms can be mailed, faxed or scanned to OPM. (The date OPM receives the forms must be within 180 days of signature)
- b. Fingerprints must be submitted to OPM for all PSIs except the SSBI-PR
- c. Fingerprints can be mailed by card (FD 258 for military and SF 87 for civilian) to OPM or sent electronically via Livescan
- d. How to send release forms and fingerprint cards:

Mail the e-QIP releases and fingerprint cards to:

E-QIP Rapid Response Team
OPM-FISD
PO Box 618
Boyers, PA 16018

Ship e-QIP releases and fingerprint cards via
FEDEX to:

E-QIP Rapid Response Team
OPM-FISD
1137 Branchton Rd.
Boyers, PA 16018

Fax release forms to:

(724) 794-1469/1412/1033

- 8. Overriding the PSI - If another type PSI has to be requested (e.g., a NACLC was requested and now with a new requirement a SSBI is needed) only a JPAS user with override permission (Levels 4 and 2) can override the investigation

NOTE: The SMO that initiates the PSI through e-QIP in JPAS must also review and approve the PSI - it cannot be Picked-up mid process by another SMO

H. Follow-up Actions on Investigation Requests (PSP 6-17)

1. Document "PSQ Sent" link in JPAS/JCAVS (ensure correct type of investigation is entered)
2. After the PSI has been approved (sent electronically) and the release forms and fingerprint cards sent to OPM check the SII blue link in the applicant's Person Summary Form in JPAS to ensure the PSI has been received and a case control number assigned
3. Monitor JPAS to ensure that investigation shows up as a "open investigation" in the system - If PSI not opened up within 30 days of submission - contact OPM as to reason
4. Rejected/returned forms - Immediately correct and resubmit
5. Cancellations - Ensure you cancel a pending investigation if (for whatever reason) the applicant no longer requires an investigation
6. If JPAS reflects PSI close over 3 months and there is no adjudication - contact DON CAF
7. New gains
 - a. Review all records and sources to ensure that at least an initial ENAC, NAC, NAC, or NACLC was conducted on all newly reporting personnel.
 - b. If a military member is received without evidence a suitability PSI was requested, the receiving command must submit a NACLC

I. Reports of Investigation (ROI) (PSP 6-18 and 6-19)

1. All PSIs conducted for DON activities are forwarded to DON CAF upon completion
2. DON CAF will make personnel security determination based on the requirements identified on the PSI request.

3. DON CAF security determinations will be reflected in the JPAS
4. Investigations requested to support trustworthiness determinations and non-sensitive positions are not adjudicated by DON CAF

NOTE: DON CAF will forward the ROI to local command for an appropriate trustworthiness and suitability determination

5. Due to the sensitivity of personnel security reports and records, ROIs must be handled with the highest degree of discretion. ROIs, favorable and unfavorable, will:
 - a. Be made available only to those authorities who require access in the performance of their official duties
 - b. Be stored in a security container
 - c. Never be shown or released to the subject of the investigation without the investigative agency's approval
 - d. Be sealed in double envelopes or covers when mailed or carried by individuals not authorized access. The inner container will be marked with the notation that it is to be opened only by an official designated to receive ROIs
 - e. Reproduction is restricted
 - f. Do not retain over 120 days without investigating agency approval